

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: George R. Hood  
Serial No.: 09/608,682  
Filed: June 29, 2000  
Title: RISK PROVISION IMPLEMENTATION FOR FINANCIAL PROCESSING IN  
A RELATIONAL DATABASE MANAGEMENT SYSTEM

Examiner: Andrew J. Rudy  
Group Art Unit: 3627  
Docket: 9011

*(Circular stamp: OIPE JC73 OCT 14 2003 PATENT & TRADEMARK OFFICE)*

CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on October 8, 2003.

By: *George H. Gates*  
Name: George H. Gates

SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT (37 C.F.R. §1.97(c))

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RECEIVED**  
OCT 20 2003  
**GROUP 3600**

Dear Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner.

Pursuant to 37 C.F.R. §1.97(c), please charge the amount of **\$180.00** to Deposit Account No. **50-1673** of NCR Corporation, the assignee of the present application, for having the items of information listed considered after the mailing date of a first Office Action on-the-merits, but before the mailing date of either a final action under 37 C.F.R. § 1.113, or a Notice of Allowance under 37 C.F.R. § 1.311.

In accordance with 37 C.F.R. §1.98(a)(2), a copy of each document or other information listed on the enclosed Form 1449 is provided.

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art". Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

Please direct any response or inquiry to the below-signed attorney at (310) 641-8797.

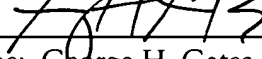
Respectfully submitted,

GATES & COOPER LLP  
Attorneys for Applicant(s)

Howard Hughes Center  
6701 Center Drive West, Suite 1050  
Los Angeles, California 90045  
(310) 641-8797

Date: October 8, 2003

GHG/mrj  
Enclosures: Form PTO-1449  
References cited

By:   
Name: George H. Gates  
Reg. No.: 33,500